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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. **11-1045**First Inventor or Application Identifier **Richard L. Davis**Title **HYBRID COHERENT-OPTICAL, RF SIGNAL CHANNELIZER**Express Mail Label No. **EK275571846US****APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Free Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **11**]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **2**]
4. Oath or Declaration [Total Pages **2**]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☒ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ Small Entity Statement(s) ☐ Statement filed in prior application Status still proper and desired (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☐ Other: _____

* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.29).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. _____ / _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Patent Counsel TRW Inc.				
Address	Law Dept. One Space Park, Bldg. E2/6072				
City	Redondo Beach	State	CA	Zip Code	90278
Country	U.S.A.	Telephone	(310) 812-4910	Fax	(310) 812-2687

Name (Print/Type) **Connie M. Thousand**

Registration No. (Attorney/Agent)

43,191

Signature

Connie Thousand

Date

2-18-2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 1999

Patent fees are subject to annual revision.
 Small Entity payments must be supported by a small entity statement,
 otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

TOTAL AMOUNT OF PAYMENT (\$730.00)

Complete if Known

Application Number Unassigned
 Filing Date February 18, 2000
 First Named Inventor Richard L. Davis
 Examiner Name Unassigned
 Group / Art Unit N/A
 Attorney Docket No. 11-1045

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 20-1515
 Deposit Account Name TRW Inc.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 780 201 380			Utility filing fee	690.00
106 310 208 155			Design filing fee	
107 480 207 240			Plant filing fee	
108 760 208 380			Reissue filing fee	
114 150 214 75			Provisional filing fee	

SUBTOTAL (1) (\$690.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
15	-20** = 0	x 18.00 = 0.00	
3	-3** = 0	x 78.00 = 0.00	
Multiple Dependent		= 0.00	

**or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103 18 203 9			Claims in excess of 20
102 78 202 39			Independent claims in excess of 3
104 260 204 130			Multiple dependent claim, if not paid
109 78 209 39			** Reissue independent claims over original patent
110 18 210 9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Small Fee Code	Large Fee Code	Small Fee Code	Fee Description	Fee Paid
105 130	205 85			Surcharge - late filing fee or oath	0.00
127 50	227 25			Surcharge - late provisional filing fee or cover sheet	0.00
139 130	139 130			Non-English specification	0.00
147 2,520	147 2,520			Forfeiting a request for reexamination	0.00
112 920*	112 920*			Requesting publication of SIR prior to Examiner action	0.00
113 1,840*	113 1,840*			Requesting publication of SIR after Examiner action	0.00
115 110	215 55			Extension for reply within first month	0.00
116 380	216 190			Extension for reply within second month	0.00
117 870	217 435			Extension for reply within third month	0.00
118 1,360	218 680			Extension for reply within fourth month	0.00
128 1,850	228 925			Extension for reply within fifth month	0.00
119 300	219 150			Notice of Appeal	0.00
120 300	220 150			Filing a brief in support of an appeal	0.00
121 260	221 130			Request for oral hearing	0.00
138 1,510	138 1,510			Petition to institute a public use proceeding	0.00
140 110	240 55			Petition to revive - unavoidable	0.00
141 1,210	241 605			Petition to revive - unintentional	0.00
142 1,210	242 605			Utility issue fee (or reissue)	0.00
143 430	243 215			Design issue fee	0.00
144 580	244 290			Plant issue fee	0.00
122 130	122 130			Petitions to the Commissioner	0.00
123 50	123 50			Petitions related to provisional applications	0.00
126 240	126 240			Submission of Information Disclosure Stmt	0.00
581 40	581 40			Recording each patent assignment per property (times number of properties)	40.00
146 760	246 380			Filing a submission after final rejection (37 CFR 1.129(b))	0.00
149 760	249 380			For each additional invention to be examined (37 CFR 1.129(b))	0.00
				Other fee (specify)	0.00
				Other fee (specify)	0.00

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$40.00)

SUBMITTED BY

Typed or Printed Name Connie M. Thousand
 Signature *Connie Thousand*

Complete (if applicable)

Reg. Number 43,191
 Deposit Account User ID 2,165

Date 2-18-2000